

## **Reader's Guide to Employee Concerns 1996**

This is the first annual report of the Department of Energy (DOE) Office of Employee Concerns, which was established in September, 1996. This report is intended to provide a broad overview of DOE's employee concerns program activities. We expect to issue this report annually to report on the activities of the previous calendar year and to describe upcoming activities.

The first section offers an overview of the DOE employee concerns program activities including the program goals and scope, headquarters and field elements of the program, the development of a DOE employee concerns database tracking system, future actions and the program's track record. Appendix A contains listings of DOE Operations or field office sites that comprise the employee concerns network. Appendix B describes the data collected and reflected in the report.

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***"Employees...who raise concerns about improper or unsafe work practices require both protection against retaliation and assurance that their concerns will be addressed."***

**Secretary of Energy Federico Peña**

## **OVERVIEW**

### **-- Introduction**

In September 1996, the Secretary of Energy strengthened protections for Department of Energy (DOE) and contractor employees who complain about improper or unsafe work practices from retaliation for their complaints by establishing the Office of Employee Concerns (OEC) at Headquarters. The office's mission is to provide the necessary leadership and policy guidance to employee concerns programs throughout DOE. Its goal is to have employee concerns reach full, fair, and final resolution, while involving management and the employees more directly in the resolution process. These concerns include issues of environmental protection and safety and health of the 125,000 Departmental Federal and contractor employee workforce, and the public at or around the Department's vast array of former nuclear weapons production facilities and research laboratories.

Secretary of Energy Federico Peña has expressed his commitment to ensure that DOE and contractor employees feel free to express their concerns without fear of reprisal. In response to written questions by the Senate Energy Committee during his confirmation to be Secretary of Energy, Secretary Peña stated that "I support former Secretary O'Leary's reforms to strengthen protections for whistleblowers, including the establishment of a small Employee Concerns Office at Department of Energy Headquarters to provide the necessary leadership and policy guidance to employee concerns programs at the Department's major facilities. Employees at these facilities, who raise concerns about improper or unsafe work practices, require both protection against retaliation and assurance that their concerns will be addressed."

### **-- Goals of the Department of Energy Employee Concerns Program**

The Department of Energy recognizes that free and open expression of employee concerns is essential to the safe and efficient accomplishment of the Department's missions, and has therefore established a "zero tolerance for reprisal" policy. Employees have the right and responsibility to report concerns relating to the environment, safety, health, security, or management of Department operations to the employee concerns programs, particularly if these concerns are not being appropriately addressed by their organization. They also have the right to receive a timely investigation and resolution of their concerns and protection from reprisal or intimidation as a result of reporting the concerns. For their part, managers have an obligation and responsibility to address employee concerns, and to resolve these concerns in a manner that will protect the environment as well as the health and safety of employees and the public, and ensure the effective and efficient operation of programs under their jurisdiction. This responsibility must be carried out in a manner which fosters the free flow of information.

## **-- Employee Concerns Programs Process**

Under the Department of Energy's Employee Concerns Management Program, contained in DOE Order 5480.29, employee concerns offices are available to receive all concerns from employees of the Department of Energy and its contractors and subcontractors, regardless of the nature of the issues raised. This is especially useful in situations where employees are seeking confidentiality. The program is designed to complement, not replace, existing avenues for addressing concerns.

Under DOE Order 5480.29, both Federal and contractor employees are authorized to bring concerns to the attention of the DOE employee concerns programs. The Department's policy is to encourage employees to seek resolution of their concerns with their first-line supervisors, or utilize established concern or complaint resolution systems whenever possible.

DOE Order 5480.29, issued in 1993 by the then Office of Nuclear Energy, had as its primary purpose "to complement existing employee reporting procedures in order to allow an independent avenue for anonymous and confidential reporting and evaluation of employee ES&H concerns without supplanting existing requirements in DOE Orders, rules, and regulations for employee reporting." (Emphasis added.) Working with the relevant program offices such as Environmental Management, Defense Programs, the Office of Environment, Safety and Health (EH) and Operations and Field Office Employee Concerns Managers, the Office of Employee Concerns will be amending DOE Order 5480.29 to identify those aspects of the order that relate specifically to environment, safety and health issues. The broader scope of the program, i.e., the Enhanced Employee Concerns Program, will be further defined, clarifying the scope of the program, the roles and responsibilities of DOE officials in resolving concerns, and the procedures to be followed in the resolution of concerns.

## **EMPLOYEE CONCERNS PROGRAM RESPONSIBILITIES AND ACTIVITIES**

### **-- The Headquarters Office of Employee Concerns**

The Headquarters Office of Employee Concerns is part of the Department's Office of Economic Impact and Diversity. It has been authorized a total staff of five; three of the current staff are trained to provide mediation assistance. This office has been working with the DOE employee concerns programs located in the field, and with Program Secretarial Officers on employee concerns within their offices. The OEC will be developing and issuing guidance on the operation of employee concerns programs by DOE offices throughout the complex, ensuring consistency, avoiding duplication of efforts, identifying and implementing best practices, and providing necessary flexibility to meet the differing needs of programs and employees. In carrying out this function, OEC will honor DOE's commitment to the labor-management process including labor-management partnerships; respect the rights of labor organizations and their members; and avoid interference with provisions of collective bargaining process and agreements.

The Headquarters Office of Employee Concerns also provides direct intervention, when warranted, of pending employee concerns. Shortly after the Office's establishment, a staff member assisted in the review of the employee concerns program at the DOE's Pantex site in Amarillo, Texas, the nation's nuclear weapons assembly and disassembly plant, prompted by several pending issues involving five contractor employees. As a result of the review, the contractor at the facility has taken steps to enhance its employee concerns resolution processes, including the use of a third-party dispute resolution panel to review and make recommendations on the five cases. This is an example of how the Office of Employee Concerns can facilitate the resolution of concerns by improving communication and coordination across the DOE complex. Such steps provide greater assurance that employee are able to voice concerns, thereby enhancing the safety and health of the workforce and the public, and also provide significant savings to the taxpayers through the avoidance of unnecessary and costly litigation. This process is modeled after the Hanford Joint Council for Resolving Employee Concerns, which is an independent and collaborative body supported by DOE at Hanford, a former plutonium production site in Washington State. The Council has the resources and authority to identify and resolve significant environmental, safety and health concerns, and handles complex cases which have the potential to become whistleblower issues if they cannot be resolved through other means.

The Office of Employee Concerns has also worked with management, employee concerns programs, contractors, employees, and employee representatives in attempts to resolve several concerns, both at the Headquarters and field levels. This has included attempts at resolution, through informal discussions and co-mediation, in cases involving whistleblower and equal employment opportunity complaints, as well as disputes over management practices.

#### **-- Field Employee Concerns Activities**

In carrying out the DOE Employee Concerns Management System under DOE Order 5480.29, employee concerns programs at DOE facilities assist employees in determining the most appropriate process under which their concern can be evaluated and resolved. This may result in the referral or transfer of concerns to the appropriate office or authority, e.g., referral of allegations of discrimination based on race, sex, or age to the Equal Employment Opportunity Office; allegations of fraud, waste or abuse to the Office of Inspector General; certain concerns, when appropriate, to the employer; or the employee concerns office may choose to investigate and attempt to resolve the concern itself.

A number of successes were achieved by field employee concerns programs in 1996, including the effective use of mediation, a key component of a successful employee concerns program. Several programs, including the Albuquerque and Savannah River Operations Offices and the Rocky Flats field office, have settled whistleblower complaints through the use of mediators from the Federal Mediation and Conciliation Service (FMCS) and other Federal agencies. These mediation resources were provided through interagency agreements and proved to be successful at minimal cost to the Department. Other whistleblower complaints were resolved through the use of Department employees, including employee concerns program staff, who have been trained as mediators, and outside, private mediators. Following is a list of the primary Employee Concerns and Dispute Resolution contacts in DOE.

## **Employee Concerns Program Contacts**

<u><b>Name</b></u>	<u><b>Organization</b></u>	<u><b>Telephone</b></u>	<u><b>FAX#</b></u>
<u><b>Headquarters</b></u>			
William A. Lewis, Jr.	HQ-OEC	(202) 586-4034	(202) 586-4924
Richard S. Fein	HQ-OEC	(202) 586-4034	(202) 586-4924
Kathy Richardson	HQ-OEC	(423) 576-1072	(423) 576-1237
<u><b>Field</b></u>			
Lucy Borjas	Chicago	(630) 252-2327	(630) 252-2919
Sandra Cramer	Ohio	(937) 865-4389	(937) 865-3426
Marcia Delmore	Savannah River	(803) 725-9578	(803) 725-5949
Paul Hartmann	Rocky Flats AO	(303) 966-5379	(303) 966-3276
Sharon Klafke	Albuquerque	(505) 845-4847	(505) 845-4020
Marcy Nicks	Rocky Flats F.O.	(303) 966-2719	(303) 966-3276
Rick Parks	Idaho	(208) 526-1818	(208) 526-5964
Sara Rhoades	Nevada	(702) 295-7843	(702) 295-0134
Jennifer Sands	Richland	(509) 376-1610	(509) 372-0998
Rufus Smith	Oak Ridge	(423) 576-4988	(423) 241-4459
Nancy Voltura	Yucca Mtn./ OCRWM-HQ	(702) 794-1422	(702) 794-1316
Jacqueline White	Oakland	(510) 637-1972	(510) 637-2156
 <b>Office of Dispute Resolution</b>			
Phyllis Hanfling	GC-12	(202) 586-6972	(202) 586-7479

## **-- Resolution of "Old" Whistleblower Cases**

Several stakeholder meetings were held in Washington, D.C. in 1996 to solicit views from the contracting and special interest communities on how to bring closure to "old" whistleblower cases. "Old" whistleblower cases are those that arose prior to the April 2, 1992, the effective date of the Department's Contractor Employee Protection Program (Part 708 of Title 10 of the Code of Federal Regulations).

The Department announced on September 26, 1996, that it was launching a pilot process to review up to five "old" DOE contractor whistleblower cases. This follows a study by the National Academy for Public Administration (NAPA) released by DOE in March 1996, that recommended establishing a process to review "old" whistleblower cases "expeditiously, in a cost effective manner and provide finality to them." These test cases will give the DOE an opportunity to determine how best to bring closure to the "old" cases. While the General Counsel has concluded that monetary relief is generally not available for "old" whistleblower cases, as part of this pilot, the Office of General Counsel will review and make a recommendation on each of the test cases. The pilot will also explore non-monetary remedies.

The review of pre-April 1992 cases will be carried out by the NAPA under the direction of the Office of Employee Concerns. NAPA will be screening potential "old" cases for review by ensuring that there is (1) contemporaneous documentary evidence that environmental, safety, health and site physical security issues were raised, and evidence of reprisal; and (2) no prior settlements or determinations from another adjudicative or judicial body on the merits of the complaint. Five "pilot" cases will be identified for review in 1997. These five "pilot" cases will then be given to a "neutral reviewer" or panel that will attempt to bring closure to the "old" whistleblower concerns. NAPA will provide recommendations on potential methods and standards to be used in the review of these cases. A report by NAPA is expected in the last quarter of Fiscal Year 1997.

## **PILOT EMPLOYEE CONCERNS TRACKING SYSTEM**

Soon after the establishment of the Office of Employee Concerns, the process of streamlining the Department of Energy's process for resolving employee concerns was started. The first phase of developing consistent program guidance was achieved through the collection of employee concerns activity data from eleven Department of Energy Operations and field offices, which provided an indication of the current status of the programs, identified trends in the number and types of concerns processed in the employee concerns programs, and reflected their success in processing those concerns in a timely manner. The employee concerns programs from the Albuquerque, Chicago, Idaho, Nevada, Oakland, Oak Ridge, Richland and Savannah River Operations Offices provided data, as did the Ohio and Rocky Flats Field Offices and the Yucca Mountain/OCRWM office. (Appendix C contains a listing of the sites under their jurisdiction of the various Department Operations and Field Offices.)

In some cases, these Operations or field office employee concerns program offices were responsible for the processing of environmental, safety and health (ES&H) concerns, but in most

cases, the employee concerns programs referred ES&H concerns to a separate office for the investigation and evaluation of those concerns. While the Department recognizes that there are a number of ways to resolve employee concerns, we want to ensure that the employee concerns program personnel are trained to handle concerns appropriately and maintain confidentiality, when requested by the employee, to the greatest extent possible.

The pilot program to develop and implement a DOE complex-wide Employee Concerns Tracking System is ongoing, and will ultimately provide a consistent set of statistics nationwide on employee concerns activities. The first Department-wide report based on this tracking system was distributed in August 1996, covering the first-half statistics for 1996. This report, covering all of calendar year 1996, incorporates the data in that mid-year report.

## **MAJOR TRENDS REFLECTED IN COLLECTED DATA**

### **-- Scope of Data Collected**

The data collected reflects concerns filed with the DOE employee concerns programs in the participating operations and field offices. It does not contain data relating to concerns, allegations, complaints, etc., filed directly by employees with appropriate offices such as the Office of Inspector General, civil rights offices, the Office of Environment, Safety and Health representatives, or through contractor employee concerns or grievance procedures.

The data was collected under six general sections. These were:

- Section I. Receipt and Disposition Summary
- Section II. Sources of Concerns
- Section III. Categories of Concerns
- Section IV. Disposition of Concerns
- Section V. 10 CFR 708, Whistleblower Program
- Section VI. Other (Age of Open Concerns)

Appendix B contains the instructions followed by the Operations and field offices in reporting employee concerns activities for 1996 for each of these sections.

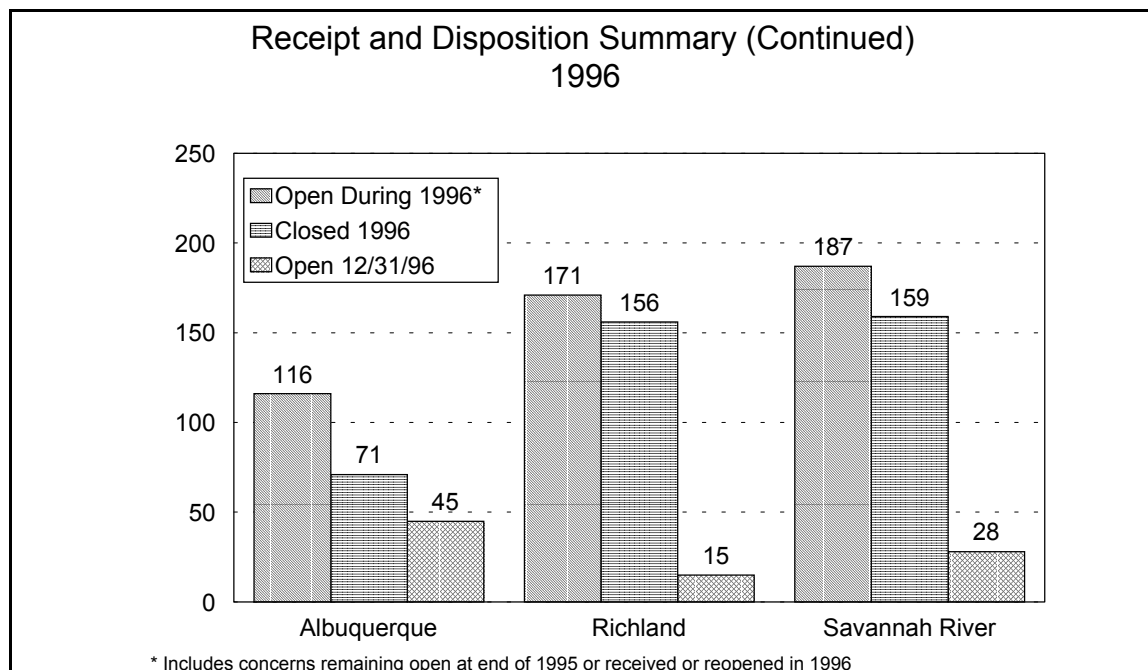
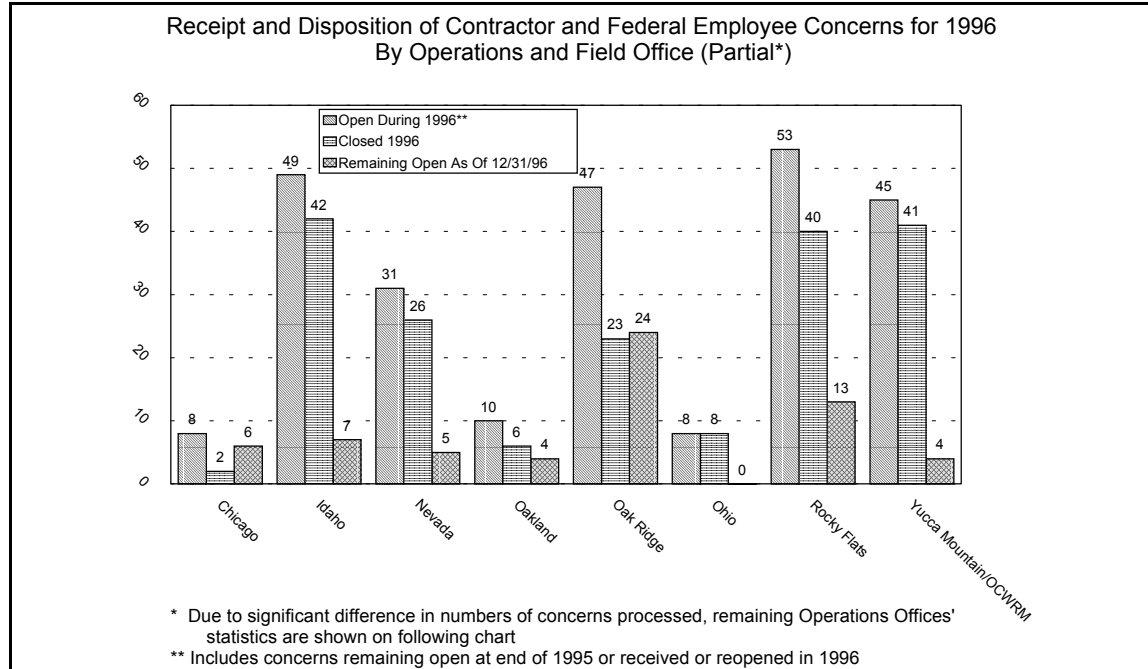
### **-- Note Concerning Data Collected**

Because the pilot tracking system was begun after the start of the calendar year and required somewhat different data elements than those collected by the participating offices, the data collected in certain sections, such as Sources of Concerns and Disposition of Concerns, did not precisely coincide with the data reported in Section I, Receipt and Disposition Summary. Regardless of some discrepancies, the overall data nonetheless provides an useful representation of employee concern activity levels and trends.

## -- Summary of Key Data Collected

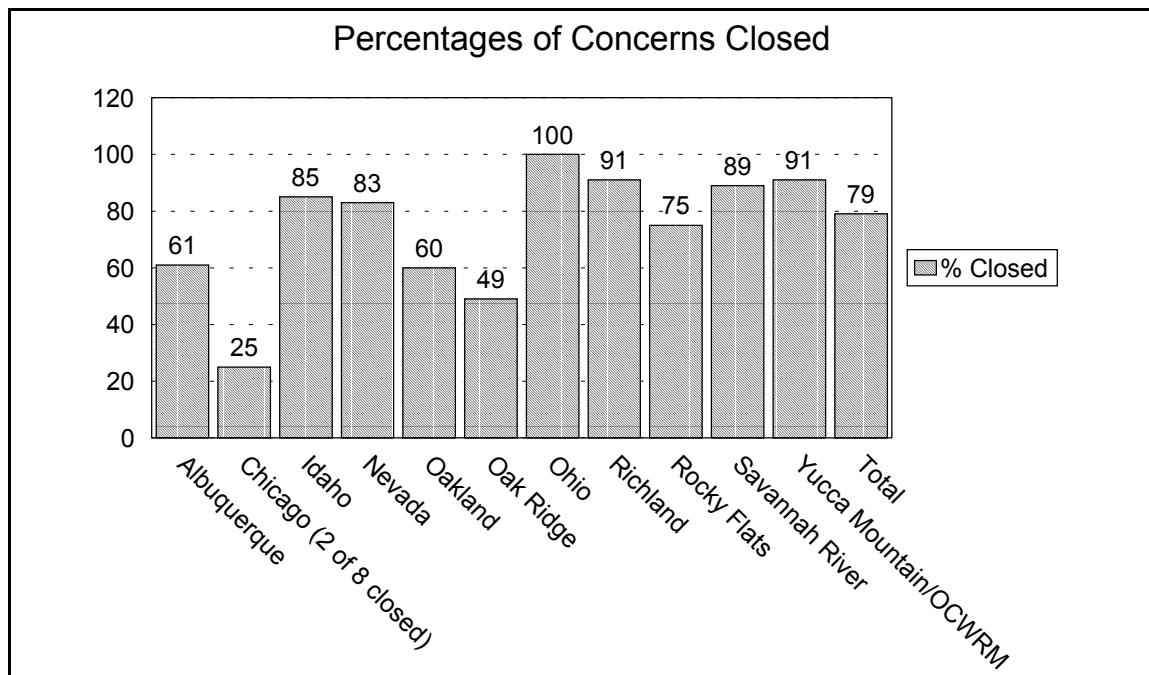
The following is a summary of the key data reported:

The participating DOE offices started 1996 with a total of 178 concerns remaining open. During 1996, those offices reported that a total of new 540 concerns were opened and 7 previously closed concerns were reopened. This data does not include the several thousand employee concerns reported annually to contractor employee concerns programs.

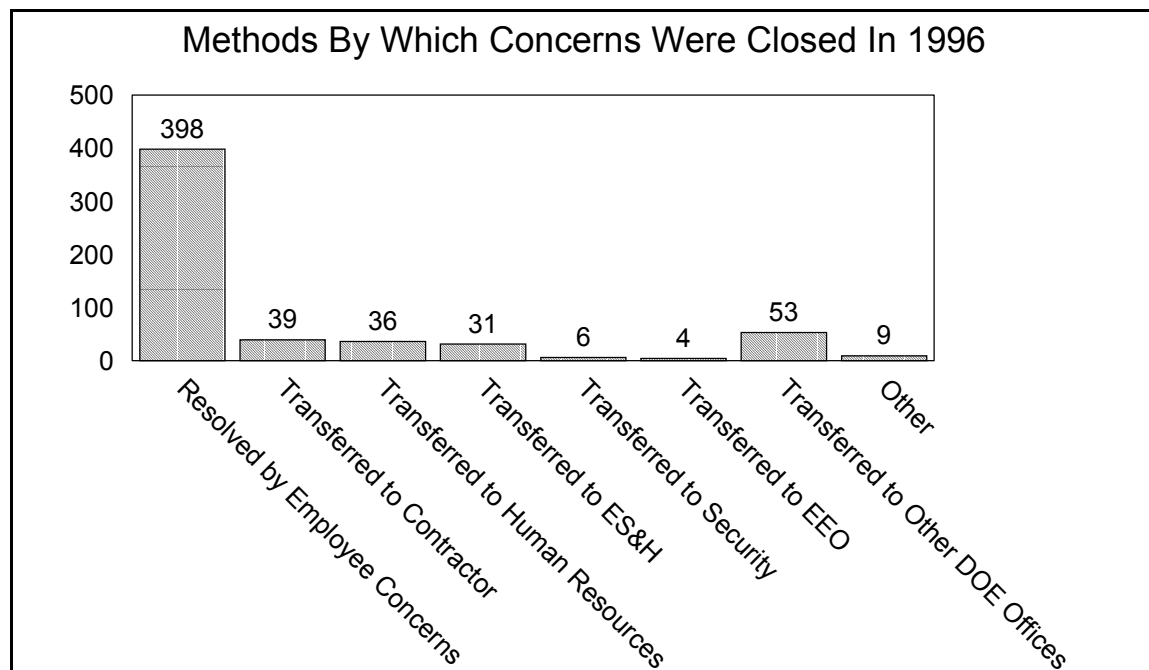




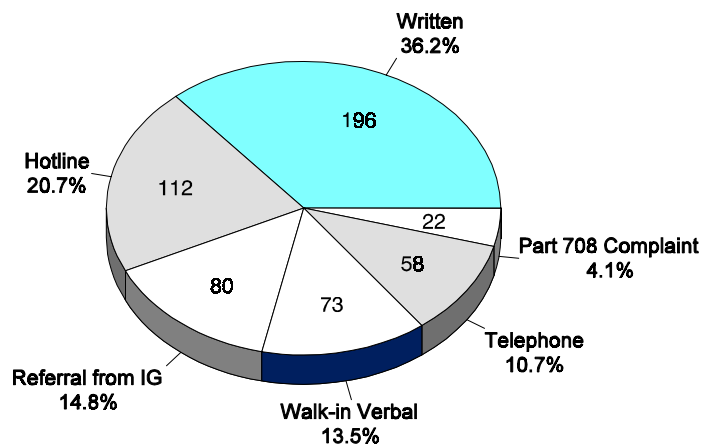
Of the resulting 725 total concerns that were open during 1996, 576, or 79 percent, were closed.



As noted above, 398 of the concerns were resolved by the DOE Employee Concerns offices. Of the remaining cases, 130 were referred to other offices within the Department of Energy for resolution, 39 were referred to contractors for resolution, and 9 were referred to other various other unspecified organizations.

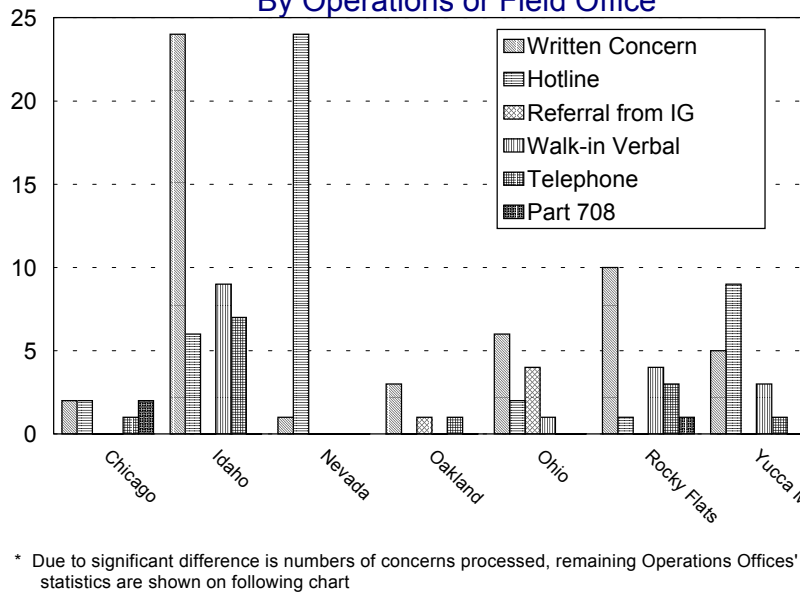


**Primary Methods Used By Employees To File Employee Concerns**

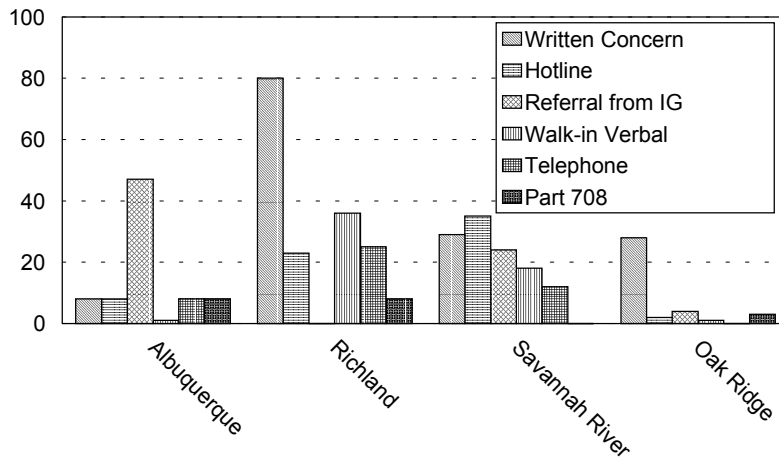


The five major methods by which concerns were submitted to the DOE employee concerns offices were written submissions (196); hotline calls (112); referral from the Office of Inspector General (80); walk-ins (73); and telephone calls (58). Twenty-two concerns were submitted to Operations and field offices as whistleblower complaints filed pursuant to the Department of Energy Contractor Employee Protection Program, 10 CFR Part 708.

**Primary Sources of Concerns Received in 1996 (Partial\*)  
By Operations or Field Office**

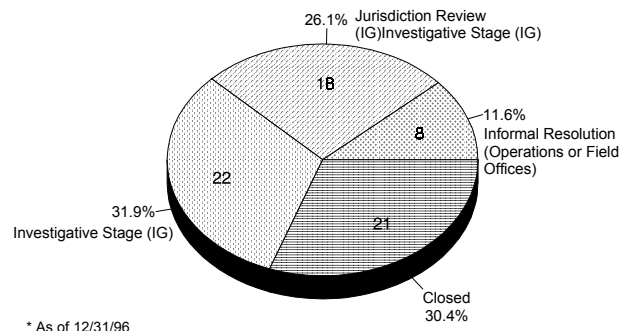


Primary Sources of Concerns Received in 1996  
By Operations or Field Office (Continued)



At the beginning of 1996, 37 complaints filed with Operations or field offices under the DOE Contractor Employee Protection Program (Part 708) remained open, and an additional 22 were opened during 1996. A total of 21 complaints were closed, either through informal resolution at the field level or as a result of decisions issued by the Office of Inspector General (which absorbed the functions formerly performed by the Office of Contractor Employee Protection). At the close of 1996, eight complaints were at the field level, pending attempts at informal resolution. Twenty-two complaints were pending investigation with the Office of Inspector General and 18 other complaints were awaiting action by that Office, primarily involving jurisdictional determinations.

Contractor Employee Protection Program  
Status of Part 708 Whistleblower Complaints\*



Four categories of concerns that accounted for 380 of the 540, or 70 percent, of the 1996 concerns were management/mismanagement (108); safety (100); human resources (97); and fraud, waste and abuse (75). The instructions for reporting employee concerns included the following examples of concerns for these four areas:

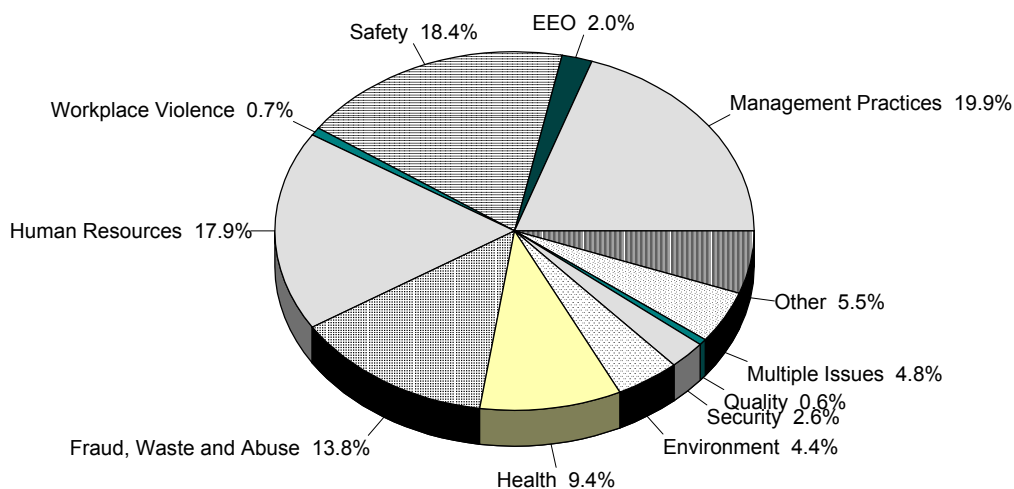
"Management/mismanagement issues such as re-engineering, policies and procedures, smoking, standard of conduct, reprisal and ethics.

Safety issues such as hoisting and rigging, training, protective equipment, "lock-n-tag," fire equipment, fire department, ambulance, fires and Price Anderson Amendment Act.

Human Resources issues such as union relations, Employee Assistance Program, Merit Systems Protection Board cases, personal grievance, reprisal, contractor relations, policies/procedures, staffing, hiring, termination, workforce restructuring/downsizing, awards/appraisals, promotion, selection, position qualification overtime and training.

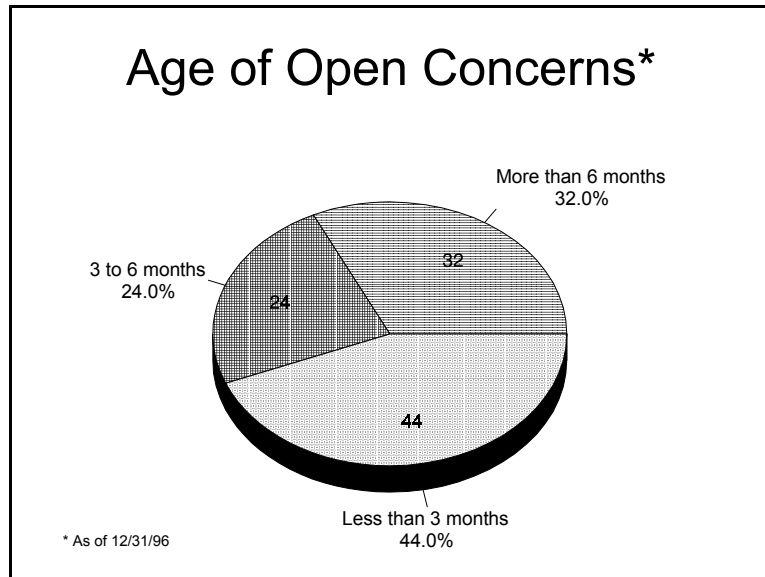
Fraud, Waste and Abuse issues such as theft, gross inefficiency, abuse, authority/responsibility, destruction of Government property, misuse of Government vehicle and misrepresentation."

## Categories of Concerns Received in 1996\*



\*Reflects concerns received in Employee Concerns Offices. Certain concerns referred to other offices, as part of "clearinghouse" function.

Of the concerns that remained open at the end of 1996 throughout the DOE employee concerns complex, 79 (45 percent) had been open for under 3 months; 42 (24 percent) for 3 to 6 months; and 56 (31 percent) for more than 6 months. As noted above, the concerns that have been pending for more than 6 months will be identified, and steps taken to expeditiously resolve these concerns.



## **FUTURE ACTIONS**

In December 1996, the Director of the Headquarters Office of Employee Concerns convened the first ever meeting of employee concerns managers from the DOE operations and field offices. As a result of the meeting, several areas were identified to streamline and improve employee concerns programs, and assigned deadlines for completion. These actions were:

1. Develop and issue Department of Energy Employee Concerns Program policy guidance, delineating the scope of the program, providing common program standards and basic program elements. [May 1997]
2. Ensure that such concerns that are closed following referral or transfer to other organizations for resolution receive full, fair, and timely consideration. [May 1997]
3. Improve effectiveness and efficiency of employee concerns programs by standardizing, to the extent necessary, employee concerns reporting forms. [May 1997]
4. Develop and fully implement a standard employee concerns tracking system. [September 1997]
5. Assist in promoting, streamlining, and improving the effectiveness of alternative dispute resolution techniques with respect to allegations of whistleblower reprisal and other improper personnel actions. Additional future actions will be aimed at preventing or resolving, at the earliest possible stage, concerns that are raised. This will be accomplished through actions such as promoting the use of Concerns Review Panels, Difference of Professional Opinion (DPO) processes; and the expanded use of mediation. [Ongoing]
6. Improve the quality and efficiency of employee concerns review and investigations by facilitating communication and coordinating training for DOE personnel assigned to evaluate employee concerns. [April 1997 and ongoing]
7. Clarify the roles of employee concerns offices with respect to DOE offices with responsibilities in the areas of environmental, safety and health issues. [September 1997]
8. Identify concerns that have been pending for more than six months and determine the reasons for the extended period of time the concerns have remained open; assist employee concerns programs with the expeditious resolution of such concerns to the extent possible. [Ongoing]
9. Other activities may include promoting and coordinating training for supervisors in effectively dealing with concerns in a constructive, rather than a hostile environment; and establishing communication networks among employee concerns programs in the field and other DOE and contractor offices to deal with projected problems areas, such as those arising from contractor workforce reductions. [Ongoing]

## APPENDIX A

### Major Operations and Field Office Facilities

DOE Office	Facilities
Albuquerque Operations Office	Grand Junction Project Office, Grand Junction, CO Inhalation Toxicology Research Inst., Albuquerque, NM Kansas City Plant, Kansas City, MO Los Alamos National Laboratory, Los Alamos, NM Pinellas Plant, Largo, FL Pantex Plant, Amarillo, TX Sandia National Laboratories, Albuquerque, NM Sandia National Laboratories, Livermore, CA Waste Isolation Pilot Project, Carlsbad, NM Uranium Mill Tailings Remedial Action (UMTRA) Program (6 sites in 2 States)
Chicago Operations Office	Ames Laboratory, Ames, IA Argonne National Laboratory-East, Argonne, IL Argonne National Laboratory-West, Idaho Falls, ID Brookhaven National Laboratory, Upton, NY Environmental Measurement Laboratory, New York, NY Fermi National Accelerator Laboratory, Batavia, NY New Brunswick Laboratory, Argonne, IL Princeton Plasma Physics Laboratory, Princeton, NJ
Idaho Operations Office	Idaho National Engineering and Environmental Laboratory, Idaho Falls, ID
Nevada Operations Office	Amador Valley Operations, Livermore, CA Los Alamos Operations, Los Alamos, NM Nevada Test Site, Nye County, NV North Las Vegas Facilities, North Las Vegas, NV Remote Sensory Laboratory, Las Vegas, NV Washington Aerial Measurements, Andrews AFB, VA
Oak Ridge Operations Office	K-25 Site, Oak Ridge, TN Oak Ridge Institute of Science and Education, Oak Ridge, TN Oak Ridge National Laboratory, Oak Ridge, TN Formerly Utilized Site Redial Action Program (FUSRAP) (24 sites to be remedied in 8 states) Paducah Gaseous Diffusion Plant, Paducah, KY

## **DOE Office**

## **Facilities**

Portsmouth Gaseous Diffusion Plant, Piketon, OH  
Thomas Jefferson National Accelerator Facility,  
Newport News, VA  
Weldon Spring Site, St. Charles, MO  
Y-12 Plant, Oak Ridge, TN

Oakland Operations  
Office

Energy Technology Engineering Center,  
Canoga Park, CA  
Ernest Orlando Lawrence Berkeley National Laboratory,  
Berkeley, CA  
Lawrence Livermore National Laboratory, Livermore, CA  
Stanford Linear Accelerator Center, Menlo Park, CA

Ohio Field Office

RMI Site, Ashtabula, OH  
Battelle Columbus Laboratories, Columbus, OH  
Fernald Environmental Management Project, Cincinnati, OH  
Mound Plant, Miamisburg, OH  
West Valley Demonstration Project, West Valley, NY

Richland Operations  
Office

Hanford Site, Richland, WA  
Northwest National Laboratory, Richland, WA

Rocky Flats Field  
Office

Rocky Flats Environmental Technology Site,  
Golden, CO

Savannah River  
Operations Office

Savannah River Site



**U. S. Department of Energy  
Monthly Report on the Employee Concerns Program**

**Instructions For Reporting 1996 Employee Concerns Activities**

**Section I. Receipt and Disposition Summary**

This Section provides a summary of the number of concerns processed in the Department of Energy Employee Concerns Program Offices during a given reporting period. Items A - E should balance as specified below.

A. Concerns open at the start of the reporting period. Provide the total number of concerns in your Employee Concerns Tracking System that were open at the beginning of the reporting period. For annual reporting (January - December, cumulative) that means the number of concerns that were open in your Employee Concerns Tracking System on December 31 of the previous year and for monthly reporting the total number of concerns that were open at the end of the previous month.

B. Concerns opened during the reporting period. Provide the total number of new concerns that were received and/or opened in your Employee Concerns Program for action or investigation during the reporting period. This number should include the concerns that were received for which a referral was made to another organization for action which were opened for tracking purposes and transferred to another organization for action/resolution.

C. Concerns reopened during the reporting period. Provide the total number of concerns that were previously closed in your Employee Concerns Tracking System and reopened for further action or investigation during the reporting period.

D. Concerns closed during the reporting period. Provide the total number of concerns that were closed in your Employee Concerns Tracking System during the reporting period. This number should include concerns that were resolved by Employee Concerns Program personnel or transferred to other organizations for action/resolution.

E.. Concerns open at the end of the reporting period. Provide the total number of concerns that required additional action, coordination or investigation at the end of the reporting period. This total should be equal to (=) Items A+B+C-D.

F. Number of employees using the Program during the reporting period. Provide the total number of individual employees using the Program during the reporting period. This includes one or more employees that raised individual or multiple concerns, as well as requests for information for which no follow up was required.

## Section II: Sources of Concerns

This Section summarizes the incoming source for the concerns that were “opened” and “reopened,” only, in your Employee Concerns Tracking System during the reporting period. The sum of each column (Items A - J) should not exceed the sum of the total reported in Section I, Items B + C.

- A. Hotline. Provide the total number of concerns that were received via your Employee Concerns Program Hotline during the reporting period.
- B. Telephone. Provide the total number of concerns that were received via your Employee Concerns Program telephone lines during the reporting period. This number should exclude telephone referrals from other organizations.
- C. Written. Provide the total number of concerns that were received by letter or other written communication during the reporting period. This number should exclude written referrals from other organizations.
- D. Walk-in/Verbal. Provide the total number of concerns that were received from employees that walked into your Employee Concerns Program Office, or were brought to your attention verbally on site at a facility during the reporting period.
- E. Referrals from the IG. Provide the total number of concerns that were referred to your Employee Concerns Program by the Office of the Inspector General during the reporting period.
- F. Referrals from another DOE Organization/Program. Provide the total number of concerns that were referred to your Employee Concerns Program by another DOE Organization or Program during the reporting period.
- G. Referrals from another Federal agency. Provide the total number of concerns that were referred to your Employee Concerns Program by another Federal agency during the reporting period.
- H. Referrals from State agencies. Provide the total number of concerns that were referred to your Employee Concerns Program by State agencies during the reporting period.
- I. Whistleblower. Provide the total number of concerns that were raised in accordance with the procedures outlined in the DOE Whistleblower Program (10 CFR 708) during the reporting period.
- J. Other. Provide the total number of concerns that were received from sources other than those outlined in A-I above.

## Section III: Categories of Concerns

This Section provides a summary of the categories for each concern that was opened or reopened during the reporting period. If an employee raised multiple issues as a part of the concern, the

concern should be coded “multiple concerns” and reported in Item K. The sum of each column should not exceed the total reported in Section I: Items B + C.

A. Security. Of the total concerns that were received in your Program during the reporting period, provide the total number that were in the security category. Some examples of security concerns are as follows:

- Badging
- Clearances
- Property
- Espionage
- Facility Access Control (Documents/Information)
- Materials Control

B. Safety. Of the total concerns that were received in your Program during the reporting period, provide the total number that were in the safety category. Some examples of safety concerns are as follows:

- Hoisting and Rigging
- Training
- Protective Equipment
- Lock N Tag
- Fire Equipment
- Fire Department
- Ambulance
- Fires
- Price Anderson Amendment Act

C. Health. Of the total concerns that were received in your Program during the reporting period, provide the total number that were in the health category. Some examples of health concerns are as follows:

- Exposure to non-radiological material
- Exposure to radiological material
- Hazardous material
- Medical
- Radiation Monitoring Equipment
- Criticality
- Ventilation
- Asbestos
- Hazwopper
- Training
- Respirators

D. Environment. Of the total concerns that were received in your Program during the reporting period, provide the total number that were in the environment category. Some examples of environmental concerns are as follows:

- Releases to the Air
- Releases to the Water
- Releases to the Soil
- Violations of Acts: Clean Air; Safe Drinking Water; RCRA; CERCLA; TSCA;  
Water Pollution; SARA; Comp. Environment Responses; OSHA

E. Fraud, Waste and Abuse. Of the total concerns that were received in your Program during the reporting period, provide the total number that were in the waste, fraud and abuse category. Some examples of waste, fraud and abuse concerns are as follows:

- Theft
- Gross inefficiency
- Abuse
- Authority/Responsibility
- Destruction of Government Property
- Misuse of Government Vehicle
- Misrepresentation

F. Human Resources. Of the total concerns that were received in your Program during the reporting period, provide the total number that were in the human resources category. Some examples of human resources concerns are as follows:

- Union Relations
- Employee Assistance Program
- Merit Board Protection
- Personal Grievance
- Reprisal
- Contractor Relations
- Policies/Procedures
- Staffing
- Hiring
- Termination
- Workforce Restructuring/Downsizing
- Awards/Appraisals
- Promotion
- Selection
- Position Qualification
- Overtime
- Training

G. Equal Employment Opportunity (EEO). Of the total concerns that were received in your Program during the reporting period, provide the total number that were in the equal employment opportunity (EEO) category. Some examples of EEO concerns are as follows:

- Age
- Disability
- National Origin
- Race/Color
- Religion
- Sexual Harassment
- Sexual Orientation

H. Quality. Of the total concerns that were received in your Program during the reporting period, provide the total number that were in the quality category. Some examples of quality concerns are as follows:

- Quality Assurance
- Quality Control
- Safety Requirements Instruction Documents(RIDS)
- Safety Analysis Reports/Safety Evaluation Reports(SAR's/SER's)
- Design/Engineering
- Inefficiency

I. Management/Mismanagement. Of the total concerns that were received in your Program during the reporting period, provide the total number that were in the management/mismanagement category. Some examples of management/mismanagement concerns are as follows:

- Reengineering
- Policies/Procedures
- Smoking
- Standard of Conduct
- Reprisal
- Ethics

J. Workplace Violence. Of the total concerns that were received in your Program during the reporting period, provide the total number that were in the workplace violence category.

K. Other. Of the total concerns that were received in your Program during the reporting period, provide the total number that were not in one of the categories (A-J) above.

## Section IV: Disposition of Concerns

This Section summarizes the disposition of the concerns that were closed in your Employee Concerns Tracking System during the reporting period. The sum of each column should not exceed the total reported in Section I, Item D.

A. Concerns resolved by Employee Concerns Program. Provide the total number of concerns that were resolved by your Employee Concerns Program personnel during the reporting period. These concerns required action/resolution or further investigation by the Employee Concerns Program staff.

B. Concerns transferred to HR Programs. Provide the total number of concerns that were transferred to personnel in the Office of Human Resources and Administration (HR) or related field personnel for action/resolution during the reporting period. This does not include concerns that were referred for coordination that will be returned to your Program for final closure.

C. Concerns transferred to Environment, Safety and Health Programs. Provide the total number of concerns that were transferred to personnel in the Office of Environment, Safety and Health (EH) or related field personnel for action/resolution during the reporting period. This does not include concerns that were referred for coordination that will be returned to your Program for final closure.

D. Concerns transferred to Security Programs. Provide the total number of concerns that were transferred to personnel in the Office of Nonproliferation and National Security (NN) or related field personnel for action/resolution during the reporting period. This does not include concerns that were referred for coordination that will be returned to your Program for final closure.

E. Concerns transferred to EEO Program. Provide the total number of concerns that were transferred to personnel in the Office of Economic Impact and Diversity (ED), the Field Diversity Manager, or other Equal Employment Opportunity (EEO) personnel for action/resolution during the reporting period. This does not include concerns that were referred for coordination that will be returned to your Program for final closure.

F. Concerns transferred to Other DOE Programs. Provide the total number of concerns that were transferred to DOE programs for action/resolution, excluding than those DOE programs outlined above, during the reporting period. This does not include concerns that were referred for coordination that will be returned to your Program for final closure.

G. Concerns transferred to DOE Contractor Organizations. Provide the total number of concerns that were transferred to DOE contractor organizations for action/resolution during the reporting period. This does not include concerns that were referred for coordination that will be returned to your Program for final closure.

H. Other. Provide the total number of concerns that were resolved or closed in a manner not captured in items A-H above during the reporting period.

## Section V. 10 CFR 708, Whistleblower Program

This Section provides a summary of the status of the concerns that were raised in your Employee Concerns Program under the Whistleblower Program.

A. 10 CFR 708 open at the start of the reporting period. Of the total number of open concerns in your Employee Concerns Tracking System at the beginning of the reporting period, provide the total that were filed under the Whistleblower Program.

B. 10 CFR 708 filed during the reporting period. Provide the total number of concerns that were filed in accordance with the procedures set forth under the Whistleblower Program (10 CFR 708) during the reporting period.

C. 10 CFR 708 closed during the reporting period. Provide the total number of whistleblower concerns that were closed during the reporting period.

D. 10 CFR 708 pending investigation. Of the total whistleblower concerns in the system at the end of the reporting period, provide the number that were under investigation or pending an investigation.

E. 10 CFR 708 pending mediation. Of the total whistleblower concerns in the system at the end of the reporting period, provide the number that were in the mediation or pending mediation.

## Section VI. Other

This Section provides a summary of the age of the concerns in your Employee Concerns Tracking System based on the date the concern is received by your Program.

A. Concerns in system less than 3 months. Of the total number of open concerns in your Employee Concerns Tracking System at the end of the reporting period, provide the number that were in the system less than 3 months (90 days), based on the date the concern was received in your Program. This number should also include concerns that were reopened for further action or investigation that were open less than 3 months.

B. Concerns in system 3 to 6 months. Of the total number of open concerns in your Employee Concerns Tracking System at the end of the reporting period, provide the number that were in the system from 3 to 6 months (90 to 180 days), based on the date the concern was received in your Program. This number should also include concerns that were reopened for further action or investigation that were open from 3 to 6 months.

C. Concerns in system 6 months or more. Of the total number of open concerns in your Employee Concerns Tracking System at the end of the reporting period, provide the number that were in the system for 6 months (180 days) or more, based on the date the concern was received in the office. This number should also include concerns that were reopened for further action or investigation that were open for 6 months or more.